



National Racing License Owner's Application

OFFICE USE ONLY New or Renewal

Date _____ / _____ / _____ License # _____
F.P. _____ Total Fees _____ Receipt/
(status) _____ Tran ID # _____
Payment Type _____
Clerk _____ Approved
by: _____

Welcome to the National Licensing Program!

As a racehorse owner who may wish to participate in several different racing jurisdictions, you are eligible to apply for a national license through the National Racing Compact. This form is **only** for those owners who will **not** be applying for any other type of license (ie, trainer, driver, etc.) If you will be applying for another type of license, please contact those jurisdictions for an application. Some racing commissions may require additional information from you.

Please refer to this form for a list of participating jurisdictions and fee schedule.

Check
Breed(s) ☐ Thoroughbred ☐ Standardbred ☐ Quarter Horse

1. Applicant Name _____
Last First Middle Maiden

2. Have you ever used an assumed name or been known by another name or been licensed under an assumed or different name? If yes, give name(s) ☐ Yes ☐ No

3. Marital status? ☐ Married ☐ Single ☐ Divorced ☐ Widowed

If married, full name of spouse, including maiden name: _____

4. Last licensed in: _____
Year Type of License Name of State

5. List latest dates fingerprinted and what states printed you: _____
Month & Year(s) Printed In what State(s)

6. Telephone numbers: () () ()
Home # Business # Fax #

7. Person to be notified in case of emergency: _____ Telephone: ()

8. Social Security No.* <small>Social Insurance No. (Canadians)</small>	Sex	Height	Weight	Color Hair	Color Eyes	Date of Birth	Age
- -						/ /	
						Mo Day Year	

* Providing Social Security Number may be voluntary and will be used as a secondary identifier; however, some jurisdictions do mandate you provide it.

9. Are you a U.S. Citizen? ☐ Yes ☐ No If no, what country are you a citizen of? _____
Immigration I.D. number (if applicable) A- _____

Place of Birth _____
City/State

10. USTA Membership Number _____ (If applicable) USTA Membership Exp. Date: _____

11. Permanent mailing address: _____
(at which service all papers may be made upon you) Street

City State/Province Postal Zip/Country

12. Local address: _____
Street

City State/Province Postal Zip/Country

13. Give the following information relative to your current employer. If self-employed, so indicate:

Employment Dates Name of Employer Address (Street, City, State, Zip)

14. List your occupation here: _____ If self-employed, list type of business: _____

The following two (2) questions must be answered "yes" or "no". Give details in space provided.

15.

a. Has your license (or your spouse's license) ever been denied, suspended or revoked or is a complaint pending in any racing jurisdiction?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Have you ever been fined \$100 or more or discharged, expelled or ejected from any race track by any racing official, or commission?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. Have you ever had any permit or license denied, suspended or revoked by any federal, state or local government agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Date	State	Track	Specific Violation(s)

16.

a. Have you (or your spouse) ever (a) pleaded guilty , pleaded nolo contendere, been found guilty or been convicted or (b) forfeited bail or been fined for any criminal offense, either felony or misdemeanor , including driving under the influence of alcohol and/or drugs?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Are there now any indictments or complaints pending against you (or your spouse) for any public offense?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. Are you (or your spouse) currently on parole or probation ? If yes, probation ends: _____ (please indicate month, day and year)	<input type="checkbox"/> Yes <input type="checkbox"/> No

Date of Arrest	State	Arresting Agency	Offense	Outcome/Sentence

17. Are there any outstanding court-imposed civil judgements against you? If so, attach an explanation. ☐ Yes ☐ No

18 a. Are you under an obligation to pay child support in any jurisdiction?..... ☐ Yes ☐ No

b. If yes, are you four (4) months or more in arrears?..... ☐ Yes ☐ No

19. Number of horses in training? _____

20. Are you obligated to have workers' compensation insurance covering employees in connection with racing? If yes, indicate the following:

Company Name* Policy Number Expiration Date Name of Policyholder

*(A copy of your workers' compensation certificate of insurance must be attached and submitted with this application.)

21. Statement of Ownership

a. List **only** horses that you plan to race this year owned wholly or in part by you or leased to you. If leased, or in partnership, stable or corporate name, so designate:

Horse Name	Age	Trainer's Full Name	Ownership Name on Registration Papers	% Owned	Breed (T, S, Q)

If additional space is needed in relation to any of the questions above, please use a separate sheet of paper and submit it with this form.

22. If you listed a **Stable Name**, a **Corporation Name** or any other legal entity as owner of a horse under "Statement of Ownership" (See Question 21), please tell us about the individual person(s) under that name holding any interest in those horses. Please check with each state you plan on racing in to determine if they require a separate Stable Name registration form be filed in addition to this application.

Individual's Name	Address (street, city, state & zip)	Name of Horse	% Owned

In making this application for a license to participate in racing, it is understood that an investigative report may be made whereby information is obtained through personal interviews with third parties, such as family members, business associates, financial sources, friends, neighbors, or others with whom you are acquainted. This inquiry includes information as to your character, general reputation, which may be applicable. You have the right to make a written request within a reasonable period of time for a complete and accurate disclosure of additional information concerning the nature and scope of the investigation.

By submitting this application, I, the undersigned, do hereby (1) agree to abide by the rules and regulations of the National Racing Compact, pari-mutuel regulatory agencies, the laws of the United States of America, Canada, state/provincial government, municipalities and other subdivisions thereof; and (2) agree to abide by any provisions regarding search and seizure which may be contained in any of the above-mentioned laws, rules and regulations, and I consent and waive any right I have to object to the search, within the grounds of a racetrack or racing association, of any premises or vehicle which I may occupy or control or have the right to occupy or control and of my person, property and effects and the seizure of any article the having of which may be forbidden.

I understand that participation in racing is a privilege, not a right, that any license issued pursuant to this form is subject to conditions precedent as set out in the Rules of Racing, and that my failure to comply therewith shall be grounds for immediate voidance or revocation of such license. By acceptance of said license, I agree to abide by the Rules of Racing and rulings or decisions of the Stewards in all jurisdictions with the knowledge that rulings or decisions of the Stewards shall remain in force until reversed or modified only by the authorized regulatory agency and may have an adverse affect on the National License.

I hereby certify that, under the penalty of perjury, I have read the foregoing form and affirm that every statement contained therein is true and correctly set forth. I do hereby agree that my license may be removed at any time for misstatements or omissions in the foregoing form. I also agree to abide by and obey the rules and regulations and conditions of the authorized regulatory agency in the jurisdictions in which I participate.

I expressly agree to be subject to the subpoena powers of the authorized regulatory agency or a written request issued in lieu of a subpoena and to provide the agency with any and all such information or documents which it may so request. This agreement shall extend to anything which relates to any matter which is the subject of any agency hearing or investigation.

Jurisdiction	Fee (Yearly unless noted)	Total
___ Delaware Harness Racing Commission	\$50.00	___
___ Delaware Thoroughbred Racing Commission	\$50.00	___
___ Florida Dept. of Business & Prof Regulation	\$40 (3Yr \$120)	___
___ Louisiana State Racing Commission	\$25 (3Yr \$75)	___
___ Virginia Racing Commission	\$10.00	___
___ West Virginia Racing Commission	\$15.00	___
<u>_X_</u> National Racing Compact Processing Fee	\$150.00	\$150.00
Total of Fees		_____

Please select what jurisdiction you wish to be licensed in. Total the fees and submit a check in that amount made payable to the National Racing Compact. If you'd prefer to pay by credit card, please fill in the following information.

Credit Card Type Master ___ Visa ___ Card Number _____ Exp Date _____
Name on Card _____

Please be sure to print & sign this form before mailing!

Signature of Applicant _____	Date _____	E-mail Address (Optional) _____
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If additional space is required for any of the above questions, please use a separate sheet of paper and submit it with this form.

Participating Jurisdictions and Fee Structure

(Code for Fees: O=Owner; H=Harness; TB=Thoroughbred; Q=Quarter Horse)

Delaware Harness Racing Commission 2320 South Dupont Highway Dover, DE 19901 Ph: 302-739-4811; Fax: 302-697-4748 H-O @ \$50	Louisiana State Racing Commission 320 North Carrollton Ave, Suite 2-B New Orleans, LA 70119 Ph: 504-483-4000; Fax: 504-483-4898 O - \$25 (1 YR LIC); O - \$75 (3 YR LIC)	Virginia Racing Commission 10700 Horsemen's Road New Kent, VA 23124 Ph: 804-966-7411; Fax: 804-966-7418 O - \$10
Delaware Thoroughbred Racing Commission 777 Delaware Park Blvd. Wilmington, DE 19804 Ph: 302-994-2521, x7104; Fax: 302-633-9848 T-O @ \$50	Florida Dept. of Business and Professional Regulation 1940 North Monroe St. Tallahassee, FL 32379-1035 Ph: 850-488-9161; Fax: 850-413-4628 O - \$40 (1 YR LIC); O - \$120 (3 YR LIC)	West Virginia Racing Commission 106 Dee Drive Charleston, WV 25311 Ph: 304-558-2150; Fax: 304-558-6319 O - \$15.00

GENERAL INFORMATION: All participating jurisdictions have agreed to accept the National Racing Owner's License in lieu of a state or provincial license. Participating jurisdictions and fees are current as of October 1, 2000. You may call the National Racing Compact or jurisdictions to inquire about any updates.

ELIGIBILITY CRITERIA: The Licensing Criteria meets the highest standards of participating jurisdictions. Please review the requirements, make sure you think you qualify and acknowledge the same.

APPLICATIONS: Complete the national racing license application. Select the jurisdictions you anticipate running in. You must print the application, sign it, and pay with a check or credit card. Make check payable to National Racing Compact.

FINGERPRINTS & PHOTO: Get fingerprinted (using an RCI designated fingerprint card) at a racetrack or at your local police or sheriff's office. Have a facial (digital or passport) photo taken and submit both to the National Racing Compact.

WHERE TO MAIL FORMS: Completed application, fingerprint card, digital photo and payment for the administrative fee and jurisdiction fees must be mailed to the National Racing Compact. Refer to the available fee schedule to determine the total amount due.

For RCI fingerprint cards, further information or questions, please contact the National Racing Compact or participating jurisdictions.

Licensing Criteria

The National Racing Compact has established the following criteria to determine eligibility for the National Racing License. The standards are comparable to the strictest requirements of all participating states. The criteria is intended to be clear and objective. The applicant should be able to read the criteria and easily decide whether they qualify or not.

General Licensing Standards

The Compact shall not complete the processing of an application for a national racing license in any category of participants in live racing if it finds that issuance of a license to the applicant would not be in the best interests of, or would adversely affect the honesty and integrity of, the Compact, the national racing license, the states that are members of the Compact, the racing industry, or the sport of racing, or that the applicant:

1. Age - Is less than eighteen (18) years of age;
2. Qualifications - Is not qualified to perform the duties and functions associated with the license for which the applicant has applied;
3. Criminal Record - Has in any jurisdiction at any time pleaded guilty or nolo contendere to, been found guilty or been convicted of, forfeited bail or been fined for, or currently has a criminal indictment or complaint pending for:
 - i. any crime involving race-fixing or any other effort to pre-determine the outcome of a race, bookmaking, touting, pool-selling, bet solicitation, or other similar conduct;
 - ii. any other felony; or
 - iii. no more than two misdemeanors, with the exception of traffic offenses, for which the date of conviction or other disposition of the most recent misdemeanor was less than five (5) years preceding the date of submission of his or her application to the Compact;
4. Racing-Related Sanctions:
 - a) Has at any time been found by any jurisdiction or by the Compact to have violated any rule or regulation pertaining to race fixing or any other effort to pre-determine the outcome of a race, bookmaking, touting, pool-selling, bet solicitation or other similar conduct;
 - b) Has at any time applied for and been denied a racing-related license by any jurisdiction or by the Compact, unless that license later was granted by that jurisdiction or by the Compact;
 - c) Is not currently in good standing with the Compact or with the agency or other entity regulating racing in any jurisdiction for any reason, including the current suspension or revocation of any racing-related license by the Compact or by any jurisdiction, unless the applicant currently is eligible to reapply for that license with the Compact or in that jurisdiction;
 - d) Has at any time been the subject of any racing-related suspension or revocation by any jurisdiction or by the Compact for a continuous period of one (1) year or more, or of a fine of \$5,000 or more; or
 - e) Has, within the five (5) years preceding the date of submission of his or her application to the Compact, been the subject of cumulative racing-related racing suspensions or revocations by any jurisdiction or by the Compact totaling 30 days or more, or cumulative racing-related fines or penalties totaling \$1,000 or more, in any period of 12 consecutive months during that five (5)-year period;
5. Character and/or Integrity Concerns.
 - a) Has consorted with, currently consorts with, or has an ownership, partnership or other commercial interest with or business ties to any person who is or has been involved with, or has in any jurisdiction at any time pleaded guilty or nolo contendere to, been found guilty or been convicted of, forfeited bail or been fined for, or currently has a criminal indictment or complaint pending for, illegal gambling, extortion, racketeering involving organized crime, fraud, misrepresentation, race fixing or any other effort to pre-determine the outcome of a race, bookmaking, touting, pool-selling, bet solicitation, or other similar conduct, or its equivalent, in any jurisdiction;
 - b) Has engaged or is engaging in conduct that involves cruelty to animals or that has resulted in the applicant having a bad reputation for honesty, truth or veracity;
 - c) Is using, or within the five (5) years preceding the date of submission of his or her application to the Compact has used, any illegal drug, narcotic or controlled substance, or is engaging, or within the five (5) years preceding the date of submission of his or her application to the Compact has engaged, in drug, narcotic or controlled substance abuse or the excessive use of alcohol;
 - d) Has knowingly made a false statement of a material fact in his or her application to the Compact, or has knowingly failed to disclose any information requested by the Compact; or
 - e) Is not otherwise of good moral character;
6. Has defaulted in the payment of any financial obligation, including the payment of taxes, due to any jurisdiction, has defaulted on the payment of any racing-related financial obligation, is four (4) or more months in arrears in any child support that is ordered or approved by a court in any jurisdiction, or otherwise is determined by the Compact to be financially irresponsible;
7. Compact Rules and Regulations. Has knowingly failed to comply with the provisions of the rules and regulations of the Compact; or
8. Other. Has engaged in any other conduct that would result in denial of a license or refusal to renew a license under the licensing standards or criteria of any jurisdiction that is a member of the Compact; provided, however, that the Compact shall not consider any such standards or criteria during its processing of the applicant's application unless, before the license is issued or renewed by the Compact, the jurisdiction notifies the Compact of the factual and legal bases for its conclusion that it would deny the applicant's application for a license or would refuse to renew the applicant's license in that jurisdiction.

Licensing Standards Specific to Horse Owners

The Compact shall not complete the processing of an application by a horse owner for a national racing license unless it finds that the applicant:

- A. Has presented satisfactory evidence that the applicant currently is covered by workers' compensation insurance, or the equivalent self-insurance permitted by the applicant's jurisdiction of residence, in the amount required by that jurisdiction; and
- B. Owns or has under lease a horse eligible to race in one or more jurisdictions.

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